

Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5226-01500 APPLICANT: Shayne Young FILING DATE: May 25, 2001	SERIAL NO. 09/866,500 GROUP: 2164
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U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

E1	International Search Report, PCT/US02/18063, mailed May 8, 2003
E2	International Search Report, PCT/US02/18224, mailed May 15, 2003
E3	International Search Report, PCT/US02/18978, mailed May 21, 2003
E4	International Search Report, PCT/US02/26471, mailed December 11, 2003
E5	International Search Report, PCT/US02/31239, mailed April 3, 2003
E6	International Search Report, PCT/US02/34357, mailed January 7, 2003

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GROUP 3600

EXAMINER:

DATE CONSIDERED:

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List of Patents and Publications
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ATTY. DOCKET NO: 5226-01500

SERIAL NO: 09/866,500

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APPLICANT: Shayne Young

Technology Center 2100

FILING DATE: May 25, 2001

GROUP: 2164

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>DM</i>	B1	4,674,044	6/1987	Kalmus, et al.	—	—	
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keise,r et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
	C3	5,987,432	11/1999	Zusman, et al.			

FOREIGN PATENT DOCUMENTS

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>DM</i>	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.					
	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.					
	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.					
	AA	Standard & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock					

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David M. Dal

DATE CONSIDERED:

5/14/04

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<i>AM</i>	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
	C12	5,003,473	3/1991	Richards			

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>AM</i>	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
<i>AM</i>	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

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Submittal

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<i>SA</i>	C15	4,750,135	6/1988	Boilen			
	C16	4,745,559	5/1988	Willis, et al.			
<i>SA</i>	C17	6,278,982	8/2001	Korhammer, et al.			

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FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

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SA

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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES																																																																																																																																						
<p>Application Number: 09/866500 Confirmation Number: 4454 First Named Applicant: Shayne Young Attorney Docket Number: 5226-01500 Art Unit: 2164 Search string: (6477580 or 6421653 or 6446871 or 6247000 or 6272474 or 6173270 or 6321212 or 4566066 or 6505174 or 6195647 or 5101353 or 4942616 or 5915209 or 5999918 or 6112189).pn.</p> <p>US Patent Documents</p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>Init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>6477580</td><td>2002-11-05</td><td>Bowman-Amuah</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>2</td><td>6421653</td><td>2002-07-16</td><td>May</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>3</td><td>6446871</td><td>2002-09-10</td><td>Buckley et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>4</td><td>6247000</td><td>2001-06-12</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>5</td><td>6272474</td><td>2001-08-07</td><td>Garcia</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>6</td><td>6173270</td><td>2001-01-09</td><td>Cristofich et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>7</td><td>6321212</td><td>2001-11-20</td><td>Lange</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>8</td><td>4566066</td><td>1986-01-21</td><td>Towers</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>9</td><td>6505174</td><td>2003-01-07</td><td>Keiser et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>10</td><td>6195647</td><td>2001-02-27</td><td>Martyn et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>11</td><td>5101353</td><td>1992-03-31</td><td>Lupien et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>12</td><td>4942616</td><td>1990-07-17</td><td>Linstroth et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>13</td><td>5915209</td><td>1999-06-22</td><td>Lawrence</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>14</td><td>5999918</td><td>1999-12-07</td><td>Williams et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>15</td><td>6112189</td><td>2000-08-29</td><td>Rickard et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature: <i>Shayne Young</i> 5/14/06</p> <p>RECEIVED MAY 30 2003 GROUP 3600</p>								Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	6477580	2002-11-05	Bowman-Amuah				<input checked="" type="checkbox"/>	2	6421653	2002-07-16	May				<input checked="" type="checkbox"/>	3	6446871	2002-09-10	Buckley et al.				<input checked="" type="checkbox"/>	4	6247000	2001-06-12	Hawkins et al.				<input checked="" type="checkbox"/>	5	6272474	2001-08-07	Garcia				<input checked="" type="checkbox"/>	6	6173270	2001-01-09	Cristofich et al.				<input checked="" type="checkbox"/>	7	6321212	2001-11-20	Lange				<input checked="" type="checkbox"/>	8	4566066	1986-01-21	Towers				<input checked="" type="checkbox"/>	9	6505174	2003-01-07	Keiser et al.				<input checked="" type="checkbox"/>	10	6195647	2001-02-27	Martyn et al.				<input checked="" type="checkbox"/>	11	5101353	1992-03-31	Lupien et al.				<input checked="" type="checkbox"/>	12	4942616	1990-07-17	Linstroth et al.				<input checked="" type="checkbox"/>	13	5915209	1999-06-22	Lawrence				<input checked="" type="checkbox"/>	14	5999918	1999-12-07	Williams et al.				<input checked="" type="checkbox"/>	15	6112189	2000-08-29	Rickard et al.			
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<i>JP</i>	D1	6,317,728 B1	11/13/01	Kane	—	—	
	D2	5,819,238	10/06/98	Fernholz	—	—	
	D3	5,640,505	06/17/97	Hearn et al.	—	—	

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.

EXAMINER:

Sam M. Du

DATE CONSIDERED:

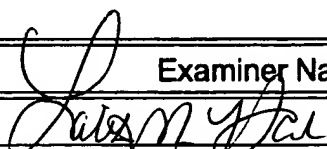
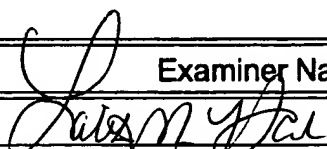
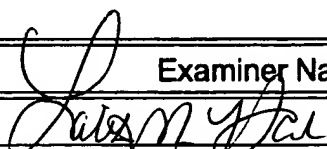
5/14/06

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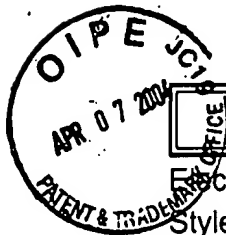


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Title of
Invention

METHODS AND SYSTEMS FOR MANAGING A
PORTFOLIO OF SECURITIES

Application Number: 09/866500
Confirmation Number: 4454
First Named Applicant: Shayne Young
Attorney Docket Number: 5226-01500
Art Unit: 2164
Examiner: Unknown Unknown
Search string: (5809483 or 5946666 or 6401105 or 6408282
or 6510419 or 20020188548 or 20020194111 or
20020194110 or 20030065598 or 20030083974
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US Patent Documents

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US Published Applications


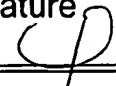
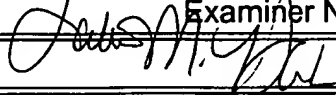
Note: Applicant is not required to submit a paper copy of cited US Published Applications

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Lauren Dal 5/14/04

page 1 of 2

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Signature					
					
Examiner Name			Date		
			5/14/06		